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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/743,172

12/22/2003

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112857-453

7752

29175 7590 04/03/2007  
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EXAMINER

YUAN, DAH WEI D

ART UNIT

PAPER NUMBER

1745

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
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3 MONTHS

04/03/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/743,172	<b>Applicant(s)</b> KAWASE ET AL.	
	<b>Examiner</b> Dah-Wei D. Yuan	<b>Art Unit</b> 1745	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 08 March 2007.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-19 is/are pending in the application.  
4a) Of the above claim(s) 1 and 9 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 2-8 and 10-19 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 22 December 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date <u>04272004</u> . | 6) <input type="checkbox"/> Other: _____  |

**ANODE AND BATTERY USING THE SAME**

Examiner: Yuan

S.N. 10/743,172

Art Unit: 1745

March 29, 2007

***Election/Restrictions***

1. Applicant's election without traverse of Group II, claims 2-8,10-19 in Paper filed March 8, 2007 is acknowledged. Therefore, claims 1,9 are withdrawn from consideration.

***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. Claims 2-8,10-19 are rejected under 35 U.S.C. 102(e) as being anticipated by Fujimoto et al. (US 2004/0224231 A1).

With respect to claims 2-4,8,10-12,14,16, Fujimoto et al. teach a lithium secondary battery, wherein an anode comprising a current collector having projections and a silicon thin film is deposited on the current collector by using an RF sputtering technique. The current collector component diffuses into the thin film to form a solid solution. See paragraphs 50,59, claim 13, Figure 4.

With respect to claims 6,7,15, Fujimoto et al. teach an electrolytic deposition of copper particles on the copper current collector. See paragraph 50.

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With respect to claims 2, 5, 13, Fujimoto et al. teach the copper particles ranging from about 1 to about 5  $\mu\text{m}$ . See Figure 1.

With respect to claims 17, 18, Fujimoto et al. teach the lithium rechargeable battery comprising the use of carbonates as solvent the use of lithium salts as the electrolyte salt. See paragraph 38.

With respect to claim 19, Fujimoto et al. teach the use of  $\text{LiCoO}_2$  as the cathode active material. See paragraph 39.

***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 2-8, 10-19 are rejected under 35 U.S.C. 103(a) as being unpatentable over Akagi et al. (JP 11-135115) in view of Fujimoto et al. (US 2004/0224231 A1).

With respect to claims 2-4, 8, 10-12, 14, 16, Akagi et al. teach a lithium secondary battery, wherein an anode comprising a current collector and a silicon thin film is deposited on the current collector by using an RF sputtering technique. The resulting anode is heat treated under vacuum. See paragraph 5-8. However, Akagi et al. do not teach the use of a current collector having projections. Fujimoto et al. teach a lithium secondary battery, wherein the projections on the copper collector would help accommodate a change in volume of the active material when it

expands and shrinks during charge and discharge. See paragraphs 50,83. Therefore, it would have been obvious to one of ordinary skill in the art to use current collector having projections onto the lithium battery of Akagi et al., because Fujimoto et al. teach the projections on the copper collector help accommodate the change in volume of the active material during charge and discharge cycles.

Moreover, Akagi and Fujimoto do not specifically disclose the silicon thin film alloys with the copper current collector. However, it is the position of the examiner that such properties are inherent, given that both Akagi et al. and the present application utilize the same processing procedures and thermal treatment. A reference which is silent about a claimed invention's features is inherently anticipatory if the missing feature *is necessarily present in that which is described in the reference*. In re Robertson, 49 USPQ2d 1949 (1999).

With respect to claims 6,7,15, Fujimoto et al. teach an electrolytic deposition of copper particles on the copper current collector. See paragraph 50.

With respect to claims 2 5,13, Fujimoto et al. teach the copper particles ranging from about 1 to about 5  $\mu\text{m}$ . See Figure 1.

With respect to claims 17,18, Akagi et al. teach the lithium rechargeable battery comprising the use of carbonates as solvent the use of lithium salts as the electrolyte salt. See paragraph 10.

With respect to claim 19, Akagi et al. teach the use of  $\text{LiCoO}_2$  as the cathode active material. See paragraph 9.

6. Claims 2-8,10-16,18,19 are rejected under 35 U.S.C. 103(a) as being unpatentable over Neudecker et al. (US 6,242,132 B1) in view of Fujimoto et al. (US 2004/0224231 A1).

With respect to claims 2-4,8,10-12,14,16,18, Neudecker et al. teach a lithium secondary battery, wherein an anode comprising a current collector and a silicon-tin oxynitride film is deposited on a heated current collector by using an electron beam evaporation technique. See Column 7, Lines 1-43. However, Neudecker et al. do not teach the use of a current collector having projections. Fujimoto et al. teach a lithium secondary battery, wherein the projections on the copper collector would help accommodate a change in volume of the active material when it expands and shrinks during charge and discharge. See paragraphs 50,83. Therefore, it would have been obvious to one of ordinary skill in the art to use current collector having projections onto the lithium battery of Neudecker et al., because Fujimoto et al. teach the projections on the copper collector help accommodate the change in volume of the active material during charge and discharge cycles.

Moreover, Neudecker and Fujimoto do not specifically disclose the silicon thin film alloys with the copper current collector. However, it is the position of the examiner that such properties are inherent, given that both Akagi et al. and the present application utilize the same processing procedures. A reference which is silent about a claimed invention's features is inherently anticipatory if the missing feature *is necessarily present in that which is described in the reference*. In re Robertson, 49 USPQ2d 1949 (1999).

With respect to claims 6,7,15, Fujimoto et al. teach an electrolytic deposition of copper particles on the copper current collector. See paragraph 50.

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With respect to claims 2, 5, 13, Fujimoto et al. teach the copper particles ranging from about 1 to about 5  $\mu\text{m}$ . See Figure 1.

With respect to claim 19, Neudecker et al. teach the use of  $\text{LiCoO}_2$  as the cathode active material. See Figure 4.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Dah-Wei D. Yuan whose telephone number is (571) 272-1295. The examiner can normally be reached on Monday-Friday (8:00-5:00).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Patrick J. Ryan, can be reached on (571) 272-1292. The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Dah-Wei D. Yuan  
March 29, 2007



**DAH-WEI YUAN**  
**PRIMARY EXAMINER**